



DEPARTMENT OF THE NAVY
COMMANDER MILITARY SEALIFT COMMAND
914 CHARLES MORRIS CT SE
WASHINGTON NAVY YARD DC 20398-5540

REFER TO:

COMSCINST 5040.2E
N00I

COMSC INSTRUCTION 5040.2E

Subj: MILITARY SEALIFT COMMAND MISSION CAPABILITY ASSESSMENT

Ref: (a) SECNAVINST 5040.3A
(b) SECNAVINST 5200.35D
(c) COMSCINST 5200.9

Encl: (1) Process Management Flowchart
(2) Macro Level Flowchart (MCA Process)
(3) Macro Level Flowchart (Command Preparation)
(4) MSC Functional Categories Based on Command Mission
(5) Mid Level Flowchart (Onsite Portion of MCA)
(6) Process Advisor Worksheet (Format)
(7) Process Analysis Sheet (Format)
(8) MCA Responsibilities

1. Purpose. To establish objectives, assign responsibilities and define procedures for establishing and administering the Mission Capability Assessment (MCA) within Military Sealift Command (MSC). This instruction promulgates guidance for implementing MCA, MSC's concept for providing formal Immediate Superior in Command (ISIC) oversight within MSC. This instruction is a revision and should be read in its entirety.

2. Cancellation. COMSCINST 5040.2D.

3. Applicability. This instruction applies to all Program Managers, Functional Directors, Special Assistants, Field Offices (i.e., NFAF East and West), Afloat Personnel Management Center (APMC), Area Commands, MSC Offices (MSCOs) and particularly to designated MSC Assessable Unit (AU) managers.

4. Background. Per reference (a), the Secretary of the Navy assigns responsibility for inspections conducted under the Department of the Navy Inspection Program (DONIP). The DONIP provides the Immediate Superior in Command (ISIC) a coordinated program for meeting command oversight responsibilities that focuses on unit readiness and capability to execute current and projected missions. In addition to objective and independent assessments, self-assessments promote accountability at the unit

level and are preferred features of DONIP. DONIP includes all inspections, evaluations, reviews, assessments and other actions intended to determine readiness and assist in improvement activities. The MCA fulfills the requirements of the DONIP, as identified in reference (a).

5. Program Objectives.

a. The purpose of the MCA is to assess the critical processes used by Headquarters Program Managers, Functional Directors and Special Assistants and subordinate commands to perform their primary missions. MCA also provides a vehicle to assist in focusing on the identification and improvement of processes critical to the performance of command missions, and assess the effective application of resources. All managers, military and civilian, have an inherent responsibility to establish and maintain effective internal management controls, continually assess areas of risk as defined in reference (b), identify and correct weaknesses in established controls and keep superiors informed.

b. The MCA differs considerably from traditional compliance oriented inspections. MCA's greatest value is that it builds upon the basic process management activities ongoing within Headquarters and Area Commands. This allows for a leveraging of the effort already devoted to activities such as identifying and reviewing mission, suppliers and customers; determining mission-critical products and services; defining the processes which produce those products and services and making decisions based on the collection and analysis of data which indicates process performance. Personnel involved in the above activities develop a better understanding of the purpose for which the command exists, what they do, whom they serve and the relative importance of the command's products and services. These activities, and the knowledge MSC personnel bring, are the basis for sustained process improvement and support the command's strategic planning goals. The template for these activities is found in the Process Management Flowchart at enclosure (1).

c. The MCA is based on the following principles:

(1) Focus only on critical processes, which are those processes that are truly critical to accomplishing the Headquarters directorate's or command's mission. Degradation or cessation of a critical process would adversely affect the directorate or command's capability to perform its mission.

(2) Reinforcement of the importance of customer-supplier relationships.

(3) Application of quantitative and qualitative methods for assessment and improvement.

(4) Application of root-cause analysis for process improvement instead of simply engaging in problem solving.

(5) Identification, by the ISIC, of MSC functional categories based on the mission of the subordinate command.

(6) Identification, by the directorate or command, of processes which support the functional categories.

(7) Selection of appropriate critical processes for review during MCA based on process improvement.

6. Management Control Program (MCP) Interface with MCA. The MCP, as described in reference (c), has the potential to be the manager's most effective tool for routinely monitoring performance of all functions underscoring directorate or command operations. Whereas the MCP directs the oversight of all directorate's or command's AUs/WPs, the MCA focuses solely on those AUs/WPs that are deemed to be critical to the directorate or command's mission. Therefore, in view of the narrow focus of the MCA, the MCP rises to an even greater level of value for decreasing vulnerability to internal control breakdowns by requiring each manager to ensure that operations are continuously monitored for effectiveness of controls and situational changes. MCA is the primary method of COMSC for validating AU management and mission effectiveness in support of DONIP requirements.

7. Relationship of Command Evaluation (CE) to MCA. A CE or review is an important internal mechanism for detecting and correcting a condition that may adversely impact mission performance and accomplishment. MCA focuses primarily on processes that are critical to the accomplishment of a directorate or command's mission. CE is a tool that can be used to examine mission essential processes or an important area of concern requiring attention outside of the MCA cycle. CE can also be used to pre-examine an area of particular importance that will receive scrutiny during the actual conduct of MCA (although duplicative review efforts are generally avoided) or for post-MCA follow-up monitoring. CE is particularly useful in supporting MCA findings where significant corrective actions are

recommended and that oversight responsibility dictates ISIC validation of actual completion or accomplishment.

8. The MCA Team. The MCA team consists of the following members drawn from the Headquarters staff and augmented by Area Commanders as necessary.

a. Team Leader: The Team Leader meets with the Executive Steering Committee (ESC), Command Management Committee (CMC) or equivalent body to review the selection of processes identified for review during the MCA. The Team Leader may also conduct general discussions, individual consultations and customer interviews. The Team Leader serves as the link between the team and command.

b. Quality Advisor (QA): The QA (normally N00Ib) coordinates the MCA with MSCHQ directorates and ACs, assigns PAs and SMEs to the MCA team, and serves as the technical expert in process improvement activities. The QA also interacts with the PAs to ensure critical areas of the PA sheet are adequately stated.

c. Process Advisor (PA): The PA interacts with the SME to review flowcharts, interacts with the Process Owner (PO) on-site for process simplification, and debriefs the SME upon completion of the MCA (except on occasion when the SME and PO are the same person). Everyone who participates in an MCA is a PA. The PA may or may not be an SME, but must receive appropriate training prior to serving on the MCA team.

d. Subject Matter Expert (SME): The SME is the technical advisor to the PA prior to the MCA and may be called on during the MCA for technical advice. The SME must balance giving technical advice to the PA against providing process direction.

e. Process Owner (PO): The PO is the individual at the receiving command who is responsible for the performance and efficiency of a process. By definition, the PO is authorized to make changes to their process while remaining compliant with governing directives.

9. Policy.

a. Area Commanders and Headquarters Program Managers, Functional Directors and Special Assistants shall be assessed by COMSC using MCA on a triennial basis per DONIP.

b. Assessments include a broad range of activities designed to evaluate mission readiness, performance and quality of life and identify systemic problems. Only assessments necessary for effective management oversight will be conducted. Duplicative assessments will be reduced to the absolute minimum. Reports of inspection by other authorities will be accepted whenever possible.

c. Headquarters Program Managers, Functional Directors and Special Assistants shall follow the MCA guidance prescribed herein for COMSC subordinate commands when preparing for MCAs.

d. Special visits, audits, command evaluations, investigations, reviews and technical visits shall be regarded as supplemental inspections or assessments applicable to DONIP requirements.

e. Area Commanders and Headquarters Program Managers, Functional Directors and Special Assistants shall perform their DONIP oversight responsibility of subordinate activities in accordance with this instruction.

f. Significant deficiencies uncovered during the MCA, which appear to require immediate attention, or are of particular interest to senior officials in the chain of command, or to the CNO, will be reported immediately to the appropriate official via the chain of command and amplified later in the formal report.

10. Grading. Each reviewed activity will receive an overall adjective grade of SATISFACTORY or UNSATISFACTORY for the overall performance. Additionally, grades of SATISFACTORY or UNSATISFACTORY may be applied to specific processes reviewed. All grades will be amplified with narrative comments and documented on the Process Analysis Sheets.

11. Conduct of MCA (see enclosures (2) and (3)).

a. Six months prior to the MCA.

(1) COMSC or ISIC will send the MCA announcement letter to the activity or directorates to be reviewed. This letter will confirm the dates of the MCA, identify functional categories and provide additional information to assist in preparing for the MCA.

(2) Headquarters Program Managers, Functional Directors and Special Assistants/ Area Commanders will review past and current process management activities, identify the critical processes for their directorate or command and define these processes at the macro level. Enclosure (4) pertains. These steps, although internal to the command, are necessary in order to proceed to the next step.

(3) Headquarters Program Manager, Functional Director and Special Assistant/ Area Commander will then apply quantitative and qualitative measures as applicable to determine which of the above critical processes warrant further review during the MCA. The intent is to apply MCA review and resources to those processes likely to result in the greatest return on investment.

(4) Headquarters Program Manager, Functional Director and Special Assistant/ Area Commander will administer a climate survey to include all staff personnel (military and civilian). The current Command Climate survey, if administered within six months of the MCA, will satisfy this requirement, provided all appropriate personnel are included.

b. Three months prior to the MCA: Activity submits to COMSC (N00I) or the ISIC as appropriate, flowcharts of those processes identified in paragraph 11a(3). Flowcharts should be depicted at the level of detail necessary to identify complexity and allow the Process Advisor and Process Owner to have a clear understanding of the process. This will be a more detailed depiction of the process than shown in a mid-level flowchart. The name and phone number of the process owner and a precise description of the process will appear on each flowchart. No significant changes should be made to these flowcharts or processes after submission to COMSC (N00I) or ISIC. A copy of the Headquarters Program Manager's, Functional Director's and Special Assistant's/Area Commander's current FY AU Plan will also be provided. Past FY AU Plans within the MCA cycle will be reviewed during the actual conduct of the MCA. Relevant MCP, MCA and process improvement training conducted within the MCA cycle will also be reviewed.

c. Two months prior to the MCA.

(1) Headquarters Program Manager, Functional Director and Special Assistant/ Area Commander will forward to COMSC (N00I):

(a) The names and phone numbers of key external customers.

(b) The results of the command climate survey including a plan of action and milestones to remedy any actionable results.

(2) When possible, the MCA Team Leader will conduct interviews with selected external customers.

(3) Headquarters Program Manager, Functional Directorate and Special Assistant/ Area Command subject matter experts and assigned PAs, shall conduct a thorough review of the flowcharts and command climate survey submitted in preparation for the on-site activities. This review supports familiarization with the specific processes to be assessed and the application of lessons learned from earlier MCAs, if applicable.

d. On-site Events (see enclosure (5)).

(1) An in-brief will be conducted consisting of a presentation by both the command and the MCA Team Leader, to include a brief description of the activity mission and organization, an overview of the MCA, introduction of PAs and process owners and an explanation of on-site activities.

(2) The process analyses will commence upon completion of the in-brief. A detailed analysis of each process will be conducted utilizing flowcharts as process maps, to be followed by a "walk through" during which the process owner will demonstrate the process. The process owner should be able to discuss their understanding of the process in relationship to the system it supports. Enclosure (6), the Process Advisor Worksheet, is the recording tool used by PAs to provide a detailed analysis of each area reviewed. The final documentation of process performance will be recorded on the Process Analysis Sheet (enclosure (7)).

(3) The MCA Team Leader will meet with the Headquarters' or Area Command's Executive Steering Committee (ESC), Command Management Committee (CMC) or equivalent body to review the processes selected for assessment during the MCA. The ESC, CMC or similar body should be prepared to provide documentation explaining how this process occurred.

(4) The MCA Team Leader, in addition to carrying out the tasks described in paragraph 11d(1), will be available for

general discussions and one-on-one consultations with military and civilian members, as necessary. Focus Group sessions will be held during MCA and may be facilitated by the MCA Team Leader or a designated team member.

(5) Upon completion of process review, the MCA Team Leader will debrief the Area Commander on the results of the MCA and the effectiveness of the observed process management activities at the command. This will be followed by debrief to an audience selected by the command.

(6) During the MCA, only those processes identified by the Team Leader will be reviewed. Other processes will be reviewed only if deficiencies or Navy-wide concerns warrant further review.

12. Action.

a. The COMSC Inspector General (N00I) shall:

(1) Serve as principal advisor to COMSC and exercise overall direction of the MCA Program.

(2) Publish an annual and projected MCA schedule for Headquarters Program Managers, Functional Directors and Special Assistants/Area Commanders. The MCA schedule shall ensure that all Headquarters directorates (Program Managers, Functional Directors, Special Assistants) and Area Commands have MCAs completed within the three year periodicity established for MSC under DONIP requirements.

(3) Conduct MCAs and follow-up of corrective actions under the policies and procedures contained in reference (a) and this instruction.

(4) Oversee MCA implementation by Area Commanders (ISICs) for subordinate activities.

(5) Maintain liaison with other activities, bureaus, offices and agencies for the exchange of information relative to the DONIP.

(6) Conduct process management and improvement training for HQ/Area Command MCA Coordinators in support of MCA/MCP implementation.

(7) Develop and distribute MCA training material for use in qualifying PAs and preparing assessment teams to conduct MCAs.

b. Area Commanders shall:

(1) Publish within 45 days of the start of each fiscal year, schedules of MCAs for subordinate activities annually by notice. Submit copies of initial schedules and subsequent changes or modifications to COMSC (N00I).

(2) Provide COMSC (N00I) with copies of all pre- and post-MCA correspondence.

(3) Conduct required follow-on training for staffs and subordinate activities in process management and improvement.

(4) Determine MSC functional categories for subordinate activities based on their mission.

(5) Ensure flowcharts are developed for the mission critical processes of the command. Identify "process owner," office code and phone number on the flowchart.

(6) Conduct MCAs of subordinate activities using references (a), (b) and this instruction as guidelines.

(7) Publish reports of MCAs conducted on subordinate commands within prescribed time frames and ensure copies of reports for all MCAs are provided to COMSC (N00I).

(8) Maintain documentation (Process Analysis Sheets/Worksheets and annotated flowcharts) in a central location, identifying processes reviewed during the MCA for three years or for a longer period if required to support the MCA cycle.

(9) Assign and train an MCA Coordinator at the Area Command who is knowledgeable of the concepts of process management, process improvement and the requirements of this instruction.

c. Headquarters Program Managers, Functional Directors, Special Assistants and Other MSC Activities shall:

(1) Prepare for the MCA following the guidance provided herein and enclosure (3).

(2) Conduct training for staff personnel in process management and improvement.

(3) Determine MSC functional category for directorate or activity actions based on mission.

(4) Develop flowcharts of the mission critical processes of the directorate. Identify the "process owner," office code and telephone number on the flowchart.

(5) Maintain documentation (Process Analysis Sheets/Worksheets and annotated flowcharts) in a central location, identifying processes reviewed during the MCA for three years or for a longer period if required to support the MCA cycle.

(6) Assign an MCA Coordinator who is knowledgeable of the concepts of process management, process improvement and the requirements of this instruction.

d. MCA Coordinator. Responsibilities of the MCA Coordinator go well beyond working logistic requirements of the MCA. The Coordinator is also responsible for ensuring staff personnel obtain the required flowcharting or process management training and/or training materials prior (normally at least 12 months) to the on-site portion of the MCA. MCA duties shall be part of the coordinator's annual performance plan.

13. Reporting Procedures.

a. Upon completion of the on-site portion of the MCA, a formal report shall be issued to the activity by the ISIC (COMSC/Area Commander). The report shall consist of an executive summary and Process Analysis Sheets for each process reviewed. Reports shall be submitted as quickly as possible; a desirable target is 30 working days after completion of the MCA. In no case shall the report preparation time exceed 45 working days.

b. MCA reports will be marked "FOR OFFICIAL USE ONLY." The cover sheet or front page of such reports will also include the following statement: *"The information contained herein relates to the internal practices of the Department of the Navy and is an internal communication within the Navy Department. This report is not releasable without the specific approval of the (ISIC). Its contents may not be disclosed outside original distribution, nor may it be reproduced in whole or in part. All*

requests for this report, extracts therefrom or correspondence related thereto will be referred to (ISIC)."

c. Follow-up Actions.

(1) At three and six months following the on-site portion of the MCA, the activity shall submit, in narrative form, the results of process improvement activities for each process reviewed during the MCA (contained in the PA Sheets) that contained a recommendation and any other process improvement activity completed or underway. A sample statement may be: *"Subsequent reviews of our Simplified Acquisitions Procedures identified several inefficiencies and unnecessary steps. In removing and/or automating these steps, the time lost in the material acquisitions process has been decreased by _____. The flowchart of the revised process appears at enclosure (1)."*

(2) In the event a significant deficiency is identified, the command will submit a follow-up report within one month of the MCA addressing corrective action. The necessity for this report shall be identified during MCA debrief.

14. Reports. The reporting requirements contained in this instruction are exempt from reports control by SECNAVINST 5214.2B.

D. A. LOEWER
Vice Commander

Distribution:

COMSCINST 5215.5

List I (Case A, B, C)

SNDL 41B (MSC Area Commanders)
41C (NFAF West)
41D (MSC Offices)
41E (APMC)
41L (COMPSRONS)
41M (MSC TAGOS Project Office)

COMSCSEALOG LANT

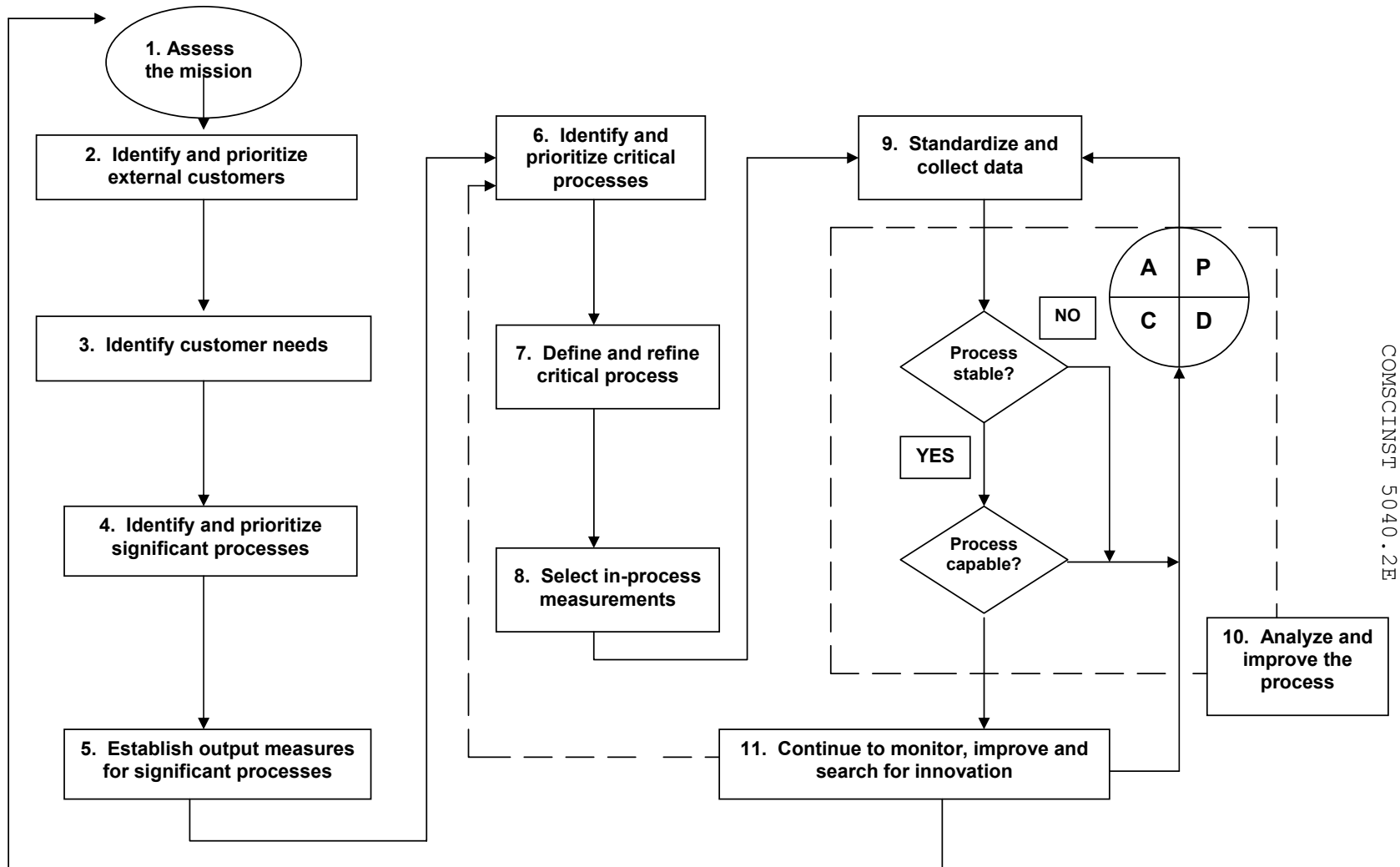
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COMSCFE

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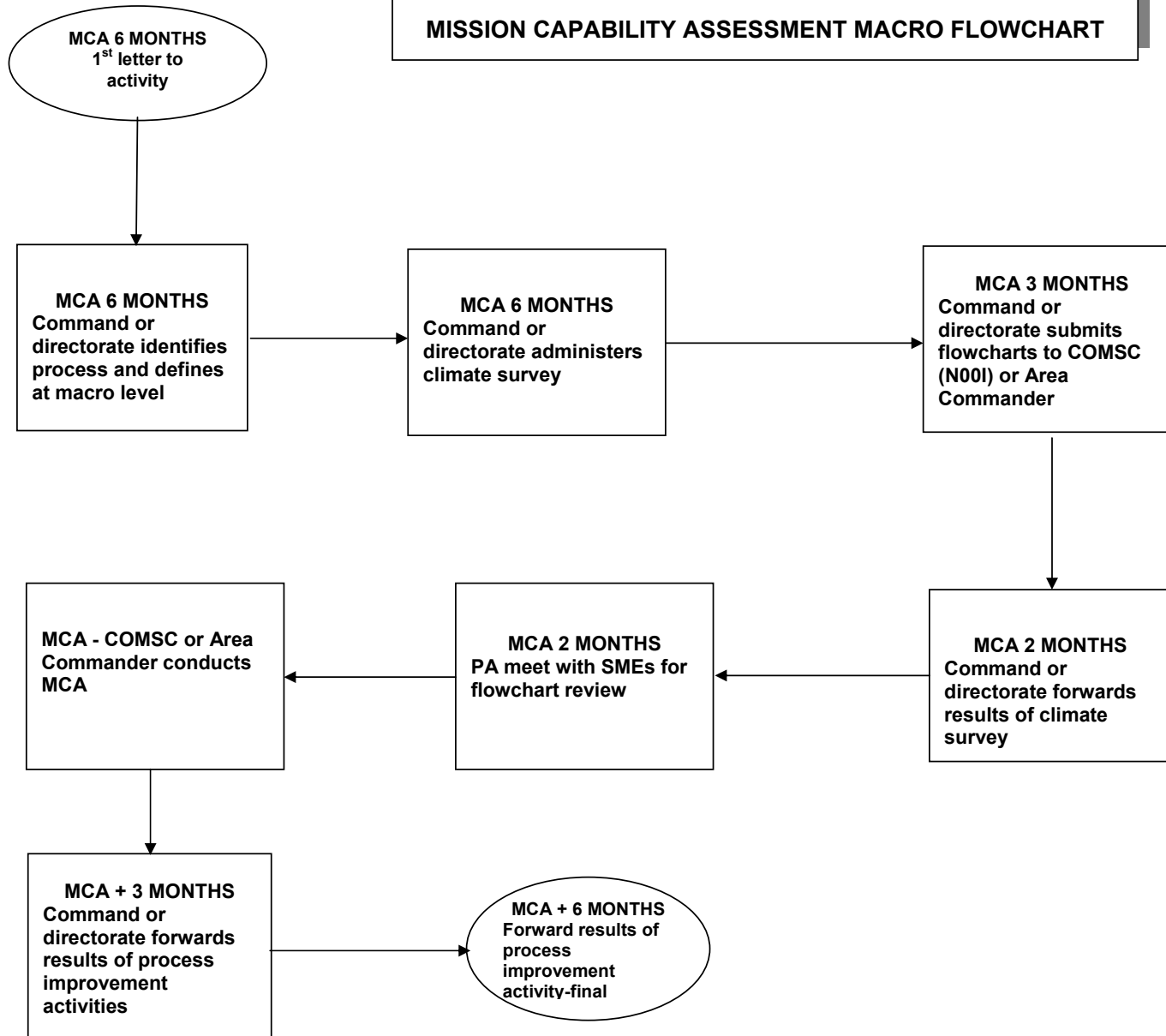
COMSCCENT

PROCESS MANAGEMENT FLOWCHART

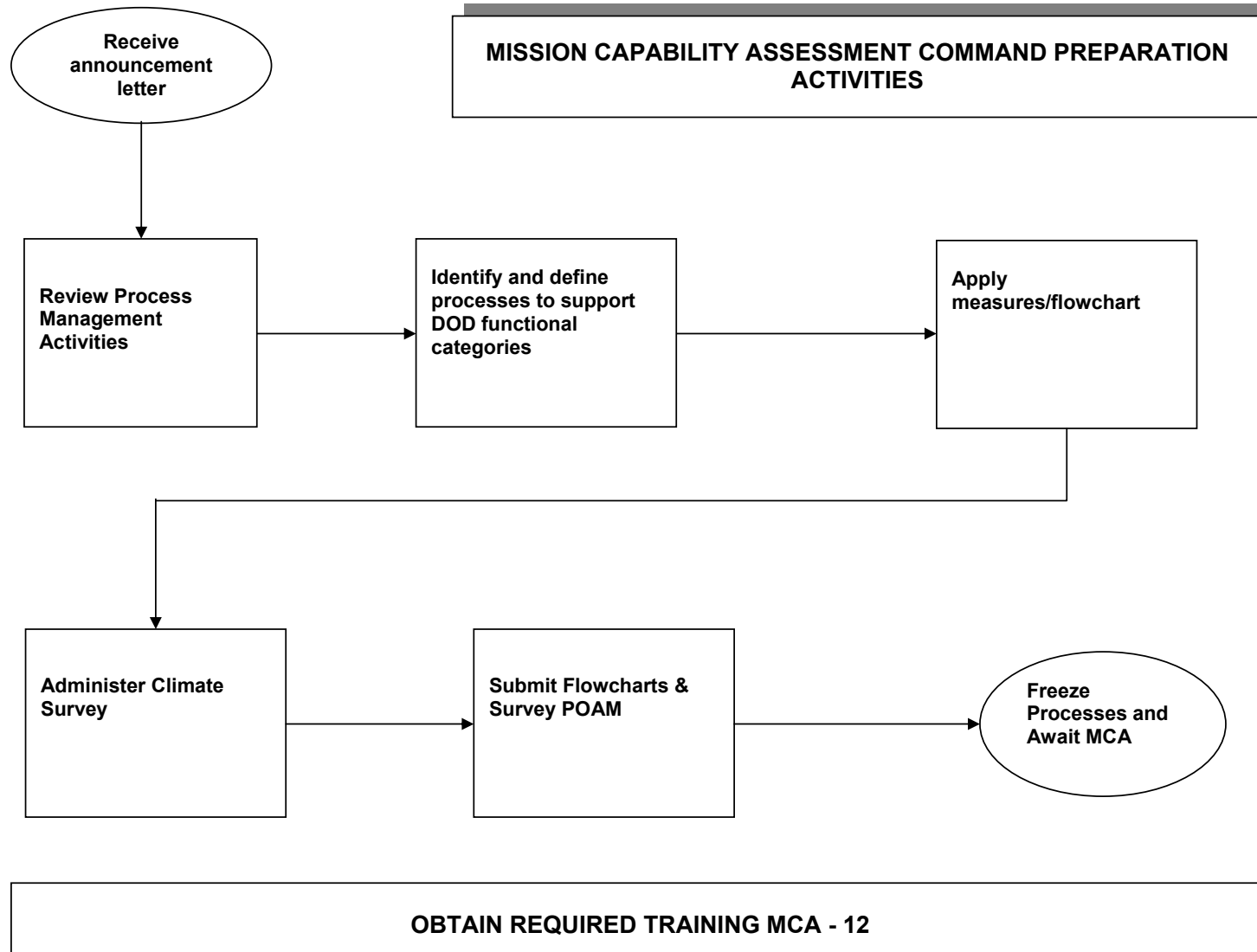


COMSCINST 5040.2E

MISSION CAPABILITY ASSESSMENT MACRO FLOWCHART



COMSCINST 5040.2E



MSC FUNCTIONAL CATEGORIES BASED ON COMMAND MISSION

Listed below are the functional categories which have been identified for Commander, Military Sealift Command and subordinate commands, based on the various missions within MSC. Each directorate or command shall flowchart, at the macro level, all the processes for their mission. The next step is to apply quantitative and qualitative measures (again at the macro level) to determine process performance. Processes that are found to be performing below established standards or desired limits, or showing a negative trend, merit further attention. These processes shall be flowcharted at the level needed to identify complexity and submitted to the ISIC for review during the next scheduled MCA.

COMMANDS BY TYPE

HEADQUARTERS

COMSC
COMSEALOGLANT
COMSCFE

COMSCEUR
COMSEALOGPAC
COMSCCENT

COMSC HEADQUARTERS

<u>Program Managers</u>	<u>Special Assistants</u>	<u>Functional Directors</u>	
PM1	N00E	N1	N7
PM2	N00I	N2 (N/A)	N8
PM3	N00P	N3/5	N9
PM5	N00R	N4	N10
		N6	

FIELD OFFICES OR ACTIVITIES

NFAF West	MSCO Guam
MSCO Okinawa	MSCO Singapore
MSCO Pearl Harbor	MSCO Beaumont
MSCO Diego Garcia	MSCO Port Canaveral
MSCPACREP San Francisco Bay	SEALOGLANTREP Houston
MSCPACREP Seattle	SEALOGLANTREP Puerto Rico
SEALOGLANTREP New Orleans	SEALOGLANTREP Jacksonville
SEALOGLANT DET Norfolk (Chaplain)	SEALOGLANTREP Charleston

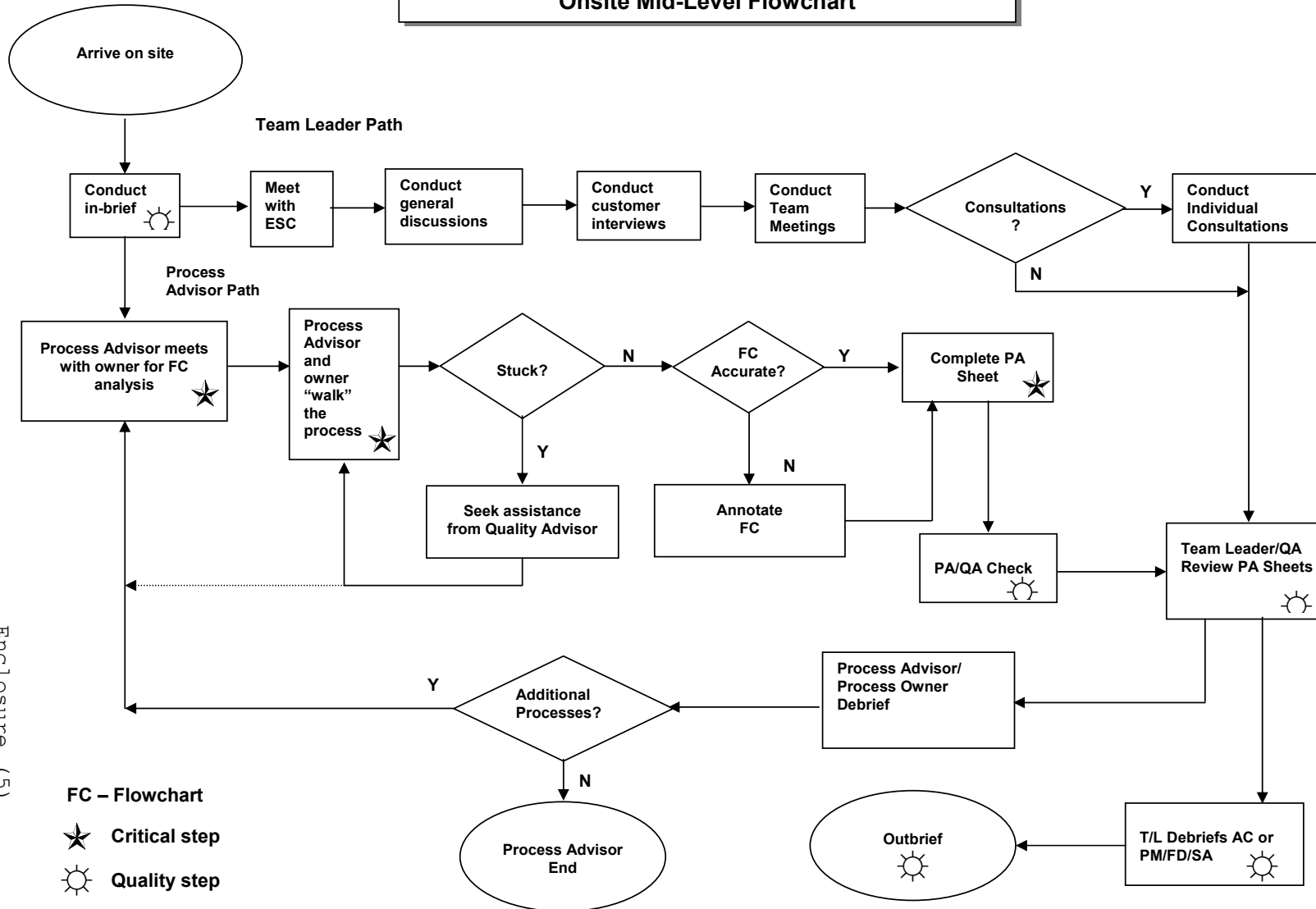
Enclosure (4)

UNIQUE COMMANDS

APMC
COMPSRON One
COMPSRON Two
COMPSRON Three
APSRON Four

APMC Detachment West
MSC TAGOS Project Office
MSC Surge Detachments

MISSION CAPABILITY ASSESSMENT Onsite Mid-Level Flowchart



Enclosure (5)

COMSCINST 5040.2E

THE QUESTIONS IN THIS WORKSHEET MUST BE ANSWERED DURING THE
REVIEW

**PROCESS ADVISOR WORKSHEET
(FORMAT)**

1. PROCESS TITLE/DESCRIPTION (State the title and purpose of the process):

2. PROCESS OWNER:

(Name) _____
(Code) _____
(Telephone Number (Commercial/DSN) _____

3. PROCESS ADVISOR:

(Name) _____
(Code) _____
(Telephone Number (Commercial/DSN) _____

4. CUSTOMERS (Identify who the customers are of the process; who benefits from the product/service.):

5. PROCESS OWNER EXPLANATION OF THE PROCESS: (Allow the process owner to explain the process to you before you begin process review and walk through and provide this information in the analysis.)

Enclosure (6)

6. OUTPUT OF THE PROCESS (When the process is complete, what is the product?):

7. FINDINGS FROM PROCESS ADVISOR AND OWNER REVIEW OF THE PROCESS (FLOWCHART AND WALK THROUGH):

a. Is the process too complex? If so, explain. Do you see things like:

(1) Are there unnecessary "chops" to catch errors?

(2) Wait loops (points at which the process stalls awaiting action or input, frequently not depicted on flowcharts)?

(3) Are there redundant steps (people or things in the process that have to go to the same place more than once)?

b. What action have you already taken to simplify (remove complexity from) the process?

c. How are you monitoring this process (provide this information somewhere in the Management Control section of the analysis)?

(1) What is being measured?

(2) How is it being measured (unit of measure, frequency of measurement)?

(3) Why is it being measured?

(4) What does the data tell you? Are you consistently achieving the desired output?

(5) What actions are being taken as a result?

d. Is the process being performed by more than one person in the command? If so, is it being performed in the same manner? If not, explain.

e. Did the flowchart accurately depict the process (include the response somewhere in the analysis)? If not, explain.

8. GOVERNING REGULATIONS: What requirement governs this process (provide this information somewhere in the analysis)? Does your process comply with that requirement? Have you achieved that compliance in the most efficient manner?

9. RISK LEVEL: Which risk level has been assigned to this process?

10. INTERNAL CHECKS/ALT EVALUATIONS: How often is this process checked (provide this information somewhere in the Management Control section of the analysis)?

11. RECOMMENDATIONS (compliance simplification):

a.

b.

c.

12. FEEDBACK FOR COMSC: What could COMSC do to improve the efficiency and quality of this process (provide this information somewhere in the analysis)?

13. NOTEWORTHY COMMENTS: (provide this information somewhere in the analysis)

PROCESS ANALYSIS SHEET
(FORMAT)

1. PROCESS TITLE/DESCRIPTION:
(Brief 2 or 3 sentence description of why the command uses this process)

2. PROCESS OWNER:
Name / Code / Comm Ph, DSN

3. PROCESS ADVISOR:
Name / Code / Comm Ph, DSN

4. PROCESS ANALYSIS:
(This is the process advisor's analysis of the process, as it exists. Provide a qualitative and/or quantitative assessment of the process based on information obtained during the review (also include how the info was obtained (ie, walk thru, documentation review, etc)). This area should also discuss the appraised effectiveness and efficiency of the process and include external and internal factors, customers view, etc as appropriate)

5. MANAGEMENT CONTROLS:
(Type of check used/Effectiveness/Thoroughness)

6. RECOMMENDATIONS:
(Provide recommendations that directly address concerns mentioned in the analysis. Ensure that recommendations are quantifiable)

7. FEATURES ENCOURAGING PROCESS IMPROVEMENT:
(Describe methods currently in place to encourage process improvement and/or eliminate process deficiencies)

Enclosure (7)

MCA RESPONSIBILITIES1. ACTIVITIES ASSESSED BY COMSC

HQ-Program Managers/Functional Directors/Special Assistants
COMSEALOGLANT
COMSEALGPAC
COMSCEUR
COMSCCENT
COMSCFE
APMC
APMC Detachment West
NFAF West
MSC TAGOS Project Office
MSC DET Surge New Orleans

2. ACTIVITIES ASSESSED BY COMSEALOGLANT

MSCO Beaumont
SEALOGLANT REP Puerto Rico
SEALOGLANT REP New Orleans
SEALOGLANT REP Houston
MSCO Port Canaveral
SEALOGLANT REP Jacksonville
SEALOGLANT REP Charleston
SEALOGLANT REP Sunny Point

3. ACTIVITIES ASSESSED BY COMSCPAC

MSCO Pearl Harbor
MSCPACREP Seattle
MSCPACREP San Francisco Bay

4. ACTIVITIES ASSESSED BY COMSCEUR

MSCO NOEUR Rotterdam, NL
MSCEUR LNO NAVEUR London, UK
MSCLNO CINCEUR Vaihingen, GE
COMPSRON ONE

5. ACTIVITIES ASSESSED BY COMSCCENT

COAPSRON FOUR

Enclosure (8)

6. ACTIVITIES ASSESSED BY COMSCFE

MSCO Korea
MSCO Guam
MSCO Okinawa
MSCO Singapore
MSCO Diego Garcia
COMPSRON TWO
COMPSRON THREE